



# Investing for a better future

Innovative financial solutions for independent investment professionals and their global clients.

→ Q12022

insigneo



As complicated as financial planning can feel,  
our network of professionals can help you create  
the best investment plan to achieve your goals.

We are here **to make investing simple.**

We have been **helping investment professionals and their global clients** achieve their goals since 1985.

Insigneo arises from the integration of the values, culture, and collective growth of several companies – Global Investor Services, HB Asset Management, Alpha Capital, Hencorp Wealth Advisors, and Northeast Securities.

Assets under management\*

13.3b

Active clients\*

+13.5k

Investment professionals and growing\*

+180

Financial institutional firms\*

+37

\*Insigneo research as of Q12022



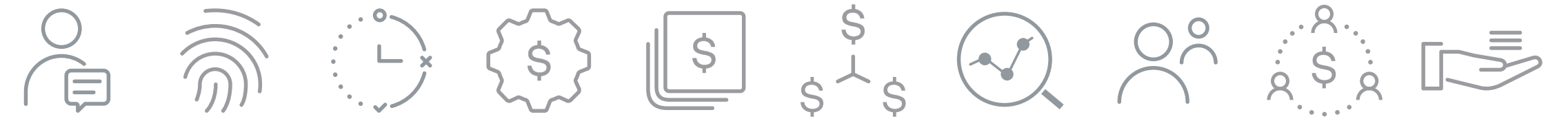
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**Our investment professionals are committed to help you adapt as your financial life evolves.**

Whether you want to manage your wealth or build financial security to last for generations, our network of professionals partner with you to realize the possibilities.



# A **wide range of solutions** designed to simplify your financial life.



## Investment Advisory

Our advisors will take the time to review and understand your financial situation and recommend a plan or a solution tailored to your specific needs.

## Wealth Planning & Insurance

We help you choose the appropriate structures in which to invest and manage your investments by creating customized strategies that help you preserve, enjoy and transfer your wealth

## Cash Management

Make your excess liquidity work for you. Get competitive rates in money market instruments, including FDIC-insured money markets products and other short term investments.

## Trading

You want to buy stocks, bonds, funds? We have you covered with access to global markets, trading relationships with numerous counterparties, and a highly capable multi-lingual product and trading team. We've got you covered..

## Market Research

Stay abreast of the latest news and developments in the financial global markets. Receive relevant insights into products and trends.

## Investment Management

We help manage your money based on your objectives and risk tolerance, cash flow needs, and your specific tax situation.

## Financing

As a high-net-worth individual you need assistance on the process of acquiring-funds, making purchases, or investing.

## Lending Services

Determine and plan the best way to acquire products without disrupting your long-term financial strategy.

Access investments  
**opportunities across**  
**the globe** to benefit  
 from multiple markets.

## Global Equity

### US Equities

Listed Stocks/OTC/ETFs/Preferred Stocks  
 Options – Stocks and Index Options

### Other Equities

London Stock Exchange UCITs

**North America** – Canada, Mexico

**Asia** – Australia, Hong Kong, Japan, Singapore

**EMEA** – Austria, Belgium, Denmark, Finland, France, Germany, Ireland, Italy, Netherlands, Norway, Portugal, Spain, Sweden, Switzerland and UK

**PASSENGER MARKETS** (Pershing exclusive)

**South America** – Brazil, Chile, Colombia, Peru

**Asia** – Bangladesh, India, South Korea, Taiwan

**EMEA** – Egypt, Romania, Serbia, UAA, Zambia

## Fixed Income

**\$2.7 billion**  
 in transactions  
 per year

**+\$1.2 billion in transactions**  
 with main market  
 counterparts

**Access to +200**  
 of the main market  
 counterparts

**50% US risk**  
 from the total  
 volume

**13,000**  
 transactions  
 per year

**35% LATAM risk**  
 from the total  
 volume

## Structured Products

### \$370MM Notional Amount issued

With an open architecture platform that distinguishes itself by structuring custom notes using only investment grade issuers.

### +615 notes issued

Direct access to the most important Wall Street firms such as BBVA, J.P. Morgan, Citi, Credit Agricole, Barclays, Natixis, Credit Suisse, BNP Paribas, Goldman Sachs and Societe Generale among others.

## Market Instruments

### Notes

Callable Structures, Non-Callable Structures, Capital Notes and Growth Notes

### Underlying assets

ETFs, Individual Bonds, and Indices

### Currency

Foreign Exchange and Currency Indices



insigneo

Committed to  
clients globally **like**  
**no other** firm.

A strong presence in key markets combined with a management team with over 200 years of experience in finance, Insigneo has acquired a unique understanding of global jurisdictions and its complexities.



**Miami – New York**  
Broker/Dealer and RIA



**Colombia**  
Oficina de representación



**Chile**  
Asesor de Inversiones



**Uruguay**  
Asesor de Inversiones



**Argentina**  
Asesor Global de Inversiones



An experience that is simpler, more secure and on-demand for our investment professionals.



Access and manage your investments everywhere you are<sup>1</sup>.



### WhatsApp Business

Connect securely and on-demand with your investment professional.

### ADDEPAR

Get a simple report with consolidated assets<sup>2</sup>.

### DocuSign

Retrieve the paperwork out of the way with digital signatures.

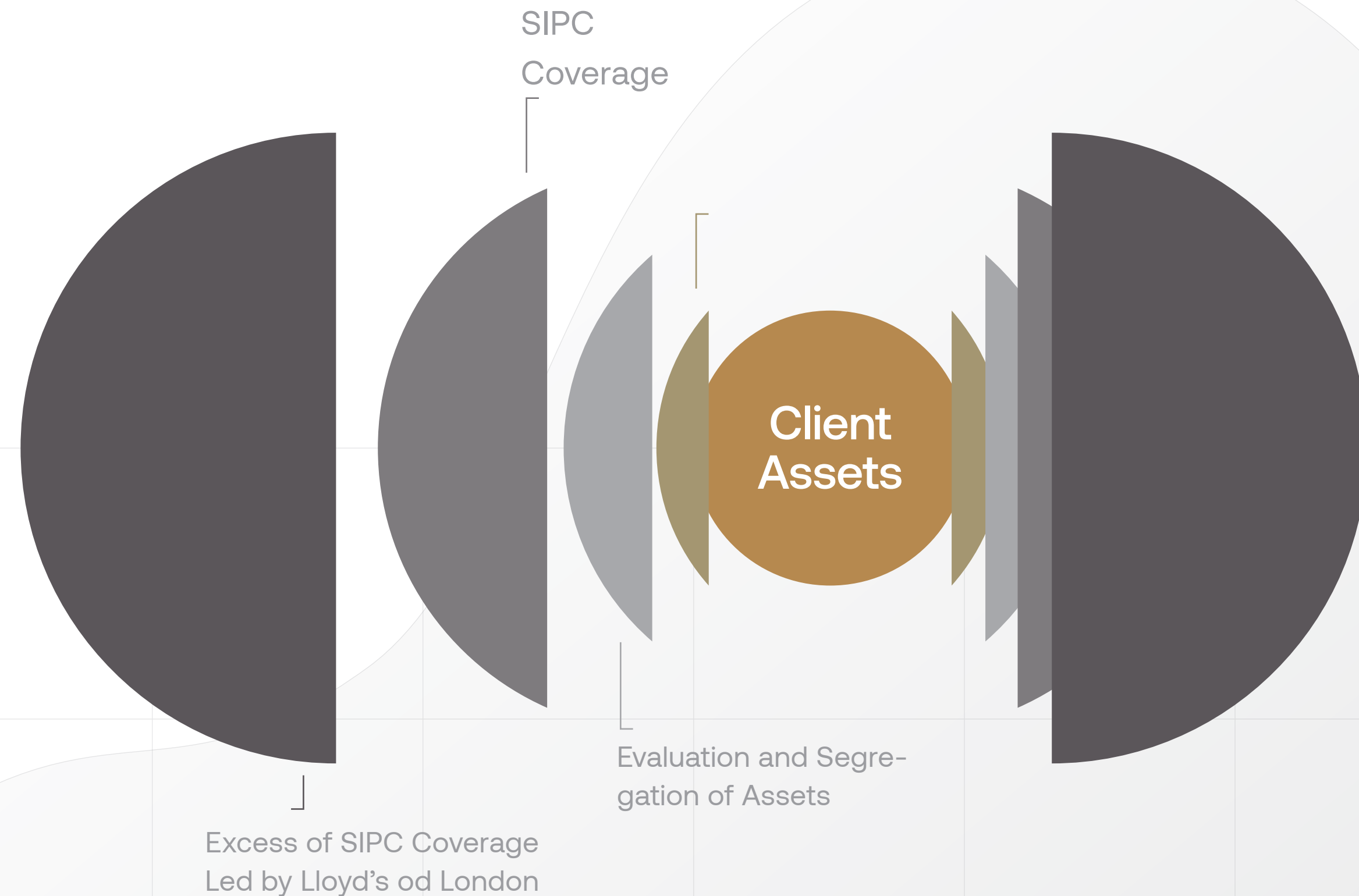
### zoom

Keeping you securely connected wherever you are.

<sup>1</sup>Pershing accounts exclusive. <sup>2</sup>Available for Advisory accounts.



Protect your assets under a **BNY Mellon Pershing account** with insurance coverage<sup>1</sup>.



<sup>1</sup>Securities Investor Protection Corporation (SIPC®) Coverage. Securities in your account are protected up to \$500,000. For details, please see [sipc.org](http://sipc.org)

**\$2.0 trillion**  
global client assets\*

**\$2.0 billion+**  
net capital\*

\*As of Q32021



# Multi-custodian

Morgan Stanley



EFG

*charles* SCHWAB



J.P.Morgan

**Access different custodians** to better allocate your assets depending on your needs and jurisdiction.



Driven by more than **200 years of combined experience** in international wealth management.



Raul Henriquez  
Chairman & CEO



Javier Rivero  
President & COO



George "Tres" Arnett  
General Counsel



Francisco Nuñez  
CFO



Rodolfo Castilla  
Head of Sales



Anabelle Teves  
Human Resources



Miguel Reyes  
Head of Marketing



Ahmed Riesgo  
Chief Investment Officer



Vikas Saxena  
Head of Tech & Innovation



Beatriz Gutierrez Junco  
CCO Advisory Services



Helen Lumpuy  
Sr. Compliance Officer



Mariela Arana  
Head of Client Relations



Mariano Scandizzo  
Head of Advisory Services



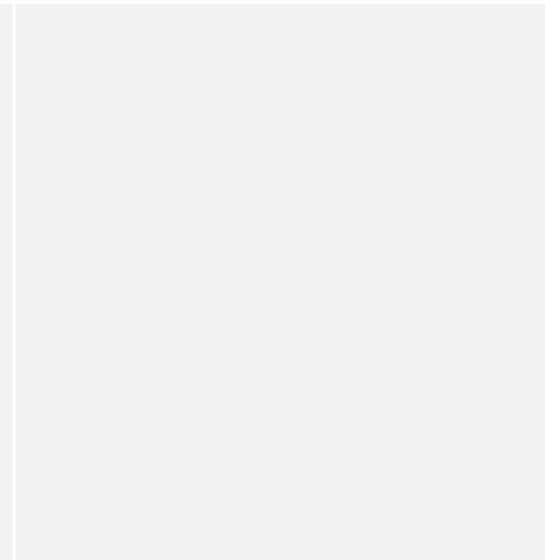
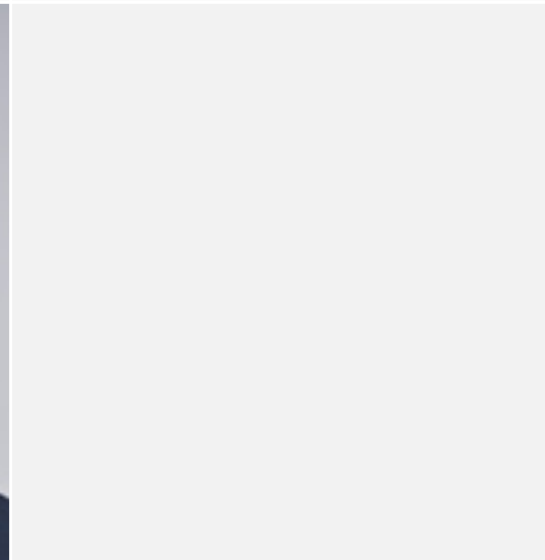
Jose Salazar  
Market Head



Vicente Martín  
Head of Structured Products



Guillermo Broukaert  
Market Head







## Important Legal Disclaimer

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